

• **MAY 09 2002** IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: TRADEMARKS

Vitaliy S. Fain and Samuel V. Fain

Application No.: 10/043,998

Group Art Unit: 2641

RECEIVED  
MAY 13 2002  
Technology Center 2600

Filed: January 11, 2002

Examiner: Not assigned

Title: METHOD AND APPARATUS FOR PROVIDING COMPUTER  
UNDERSTANDING AND INSTRUCTIONS FROM NATURAL LANGUAGE

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202

on 07/16/02

Date

*Theresa A. Norcutt*  
Signature

Margaret A. Norcutt  
Typed or printed name of person signing certificate

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
P.O. Box 2327  
Arlington, VA 22202

Sir:

This Information Disclosure Statement is submitted:

under 37 CFR 1.129(a), or

(First/Second submission after Final Rejection)

under 37 CFR 1.97(b), or

(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).

under 37 CFR 1.97(c) together with either:

a Statement under 37 CFR 1.97(e), as checked below, or

a \$180.00 fee under 37 CFR 1.17(p), or

(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

under 37 CFR 1.97(d) together with:

a Statement under 37 CFR 1.97(e), as checked below, and

a \$180.00 fee under 37 CFR 1.17(p), or

(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)

under 37 CFR 1.97(i):

Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.

(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Enclosed herewith is form PTO-1449:

- Copies of the cited references are enclosed.
- Copies of cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- The "concise explanation" requirement (non-English references) for reference(s) [ ] under 37 CFR 1.98(a)(3) is satisfied by:
  - the explanation provided on the attached sheet.
  - the explanation provided in the Specification.
  - submission of the enclosed International Search Report.
  - submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
  - the enclosed English language abstract.

[ ] Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

Examiner

Date

[ ] A copy of each above-cited application, including the current claims, is enclosed.

[ ] A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

[ ] A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.

[ ] Please charge Deposit Account 08-0380 in the amount of \$[ ]. A copy of this Statement is enclosed.

[X] Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

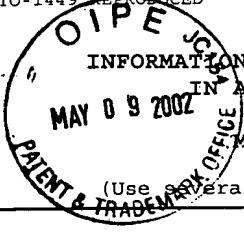
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Dated:

5/6/2

PTO-1449 REPRODUCED  INFORMATION DISCLOSURE CITATION IN AN APPLICATION MAY 8 9 2002 May 6, 2002 (Use several sheets if necessary)	ATTORNEY DOCKET NO. 3229.1000-000	APPLICATION NO. 10/043,998
	APPLICANT Vitaliy S. Fain et al.	
	FILING DATE 1/11/02	GROUP 2641
	RECEIVED MAY 13 2002 Technology Center 2000	

## U.S. PATENT DOCUMENTS

EXAM- INER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IN APPROPRIATE
AA	5,642,519	06/24/97	Martin	395	759	
AB	5,671,329	09/23/97	Hatazaki	395	2.62	
AC	5,694,523	12/02/97	Wical	395	12	
AD	5,708,822	01/13/98	Wical	395	751	
AE	5,748,841	05/05/98	Morin et al.	395	2.66	
AF	6,094,635	07/25/00	Scholz et al.	704	270	
AG	6,138,087	10/24/00	Budzinski	704	9	
AH	6,199,034 B1	03/06/01	Wical	704	9	
AI						
AJ						
AK						

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES      NO
AL						
AM						
AN						
AO						
AP						
AQ						

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AR	Sutton, S., Cole, R., de Villiers, J., Schalkwyk, J., Vermeulen, P., Macon, M., Yan, Y., Kaiser, E., Rundle, B., Shobaki, K., Hosom, P., Kain, A., Wouters, J., Massaro, M., Cohen, M., "Universal Speech Tools: the CSLU Toolkit," Proceedings of the International Conference on Spoken Language Processing (ICSLP), pp. 3221-3224, Sydney, Australia, Nov, 1998 (4 pp.)
AS	Zue, V., "Talking with Your Computer," <i>Scientific American, Computing with Oxygen</i> , August 1999; <a href="http://www.sciam.com/1999/0899issue/0899zue.html">http://www.sciam.com/1999/0899issue/0899zue.html</a> , (3 pp.)
AT	"Laboratory for Computer Science July 2000 Spoken Language Systems - Summary of Research," Massachusetts Institute of Technology (2000) (103 pp.)